Strategic Information Technology Plan

FY 2002 - FY 2007

International Trade Administration

February 2002

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Executive Summary

This document describes the International Trade Administrations's (ITA) strategy for using information technology (IT) to streamline business processes and improve delivery of ITA products and services to the American public.   The plan addresses IT resources and related management activities for a six year period (FY 2002 - 2007). It was developed by ITA's Office of the Chief Information Officer (OCIO) in cooperation with the leading ITA information technology managers and key planning, budget, and program staff.

Introduction

This document describes ITA's strategy for using information technology (IT) to streamline business processes and improve the delivery of ITA products and services to the American public. It focuses on the most significant issues confronting the creation of our vision of an electronic global trade information environment.

Purpose of the Plan

The plan is designed to serve as a road map to guide ITA's efforts to strategically apply information technology to improve organizational performance. It explains our objectives in the form of an IT vision, and then lays out our strategies and plans for achieving it. Potential obstacles that confront us are described, along with plans to manage them. This document provides the context for more detailed operational IT planning, and complements ITA's other annual planning activities and documents such as the Operational Information Technology Plan, the Government Performance and Results Act (GPRA) Annual Performance Plan, the Information Collection Budget (ICB), and the ITA budget.

Scope of the Plan

This plan addresses IT resources and related management activities for a six year period, from FY 2002 through FY 2007. IT resources are the tangible and intangible assets involved in developing and operating technology-based infrastructure and application systems. This plan only focuses on information management issues with respect to their IT implications.

Structure of the Plan

The format of the plan is generally consistent with that suggested by the Department and is divided accordingly into the following sections:

Introduction

Describes the purpose served by the plan, the structure of the plan, and the process used to develop it.

ITA Mission, Organization, and Business Processes

Presents ITA mission goals, organizational structure, and fundamental business processes.

Overview of IT in ITA

Articulates the ITA vision for information technology's contribution to mission performance, lists our major IT investments, and identifies how they support key ITA business processes as well as Secretarial initiatives. It also explains how we are organized to manage IT.

Goals

Outlines the goals that we use to guide the efforts to realize our IT vision.

Planning Assumptions

Identifies key assumptions regarding ITA mission activities and the internal and external IT environment.

Issues, Strategies and Action Plans

Describes the most significant issues involved in achieving our goals, explains the strategies for addressing them, and identifies actions we will take during the next twelve months.

Summary of Key Activities

Explains ITA's progress and plans related to Departmental IT priorities and initiatives, and internal IT management improvement efforts.

IT Investment Portfolio Synopsis

Provides a snapshot of each major IT investment in our portfolio, summarizing its status along with FY 2002-2007 financial and performance measure data.

Planning Process

This plan was developed by ITA's Office of the Chief Information Officer (OCIO) in cooperation with the leading information technology managers and key planning, budget, and program staff. The process used to develop this plan is based on traditional strategic planning procedures and consists of the following steps:

1.   Identify the IT vision and supporting goals - describe the ideal state of IT and identify the goals that accompany it.

2.   Assess the current situation - analyze the strengths and weaknesses of ITA's internal environment, and evaluate threats and opportunities arising from external factors.

3.   Identify strategic issues - describe the fundamental questions or challenges that pose obstacles to achieving the IT vision and goals.

4.   Formulate strategies - develop the general policies, approaches, or programs to be used to achieve the goals and address the strategic issues.

5.   Develop action plans - specify the detailed actions to be taken to implement the strategies.

ITA Mission, Organization, and Business Processes

Mission

ITA's mission is to create economic opportunity for U.S. workers and firms by promoting international trade, opening foreign markets, ensuring compliance with trade laws and agreements, and supporting U.S. commercial interests at home and abroad.

To accomplish its mission, ITA has four mission-focused goals and two management-focused goals, with several supporting objectives under each goal.   The following table describes the goals and objectives.

ITA Goals and Objectives

Mission	Management
Increase Trade Opportunities ' Open markets ' Provide leadership in promoting trade **Broaden and Deepen Participation** ' Increase awareness among U.S. companies ' Increase the number of small and medium-size enterprise (SME) exporters and their exports ' Facilitate deal-making **Ensure Fair Competition** ' Combat dumping and subsidy of imports ' Ensure compliance with trade agreements **Advance U.S. International Commercial and Strategic Interest** ' Support the Administration's broader policy objectives through trade ' Increase U.S. competitiveness through global e-commerce	**Improve Customer Satisfaction** ' Provide excellent customer service ' Ensure ease of access **Ensure Excellent Management of Resources** ' Manage financial and human resources effectively ' Leverage information technology (IT) as a strategic asset ' Build organizational capabilities and flexibility ' Increase employee satisfaction by "putting people first"

ORGANIZATIONAL STRUCTURE

Organization

ITA consists of seven major units: U.S. & Foreign Commercial Service; Trade Development; Market Access and Compliance; Import Administration; Office of the Under Secretary; Chief Financial Officer/Director of Administration; and the Chief Information Officer.

The main functions of the units are:

!   ***Office of the Under Secretary*** **(OUS)** supports the Under Secretary (U/S) who, as the head of the International Trade Administration, determines the organizations's policy, directs its programs, and is responsible for all of ITA's activities. Specifically, the U/S is the principal officer of the Department for carrying out the nation's policies and programs that promote world trade, and for strengthening the international trade and investment position of the United States.

•   ***U.S. & Foreign Commercial Service*** **(US&FCS)** provides export counseling and export promotion services to small and medium size U.S. businesses, through a network of offices in 50 states, Puerto Rico and 80 foreign countries.   Matchmaker Trade Delegations allow U.S. companies to meet face-to-face with qualified business prospects in promising export markets. The program includes comprehensive country briefings, logistical support, and follow-up counseling. The US&FCS develops and distributes information products, such as the Country Commercial Guides, which provide overviews for doing business in more than 120 countries with information on market conditions, best export prospects, financing, finding distributors, and legal and cultural issues. The US&FCS also advocates on behalf of U.S. businesses abroad through accredited diplomats and other U.S. officials when problems arise.   Support ranges from meetings by commercial officers and ambassadors to letters and calls from high level authorities, including the Under Secretary. US&FCS also conducts trade shows and trade fairs overseas.

•   ***Trade Development*** **(TD)** negotiates and enforces industry sector trade agreements such as those on automobiles, textiles and aircraft. TD's industry analysts counsel American businesses and promote trade in numerous industry sectors. TD is the home of: the Trade Information Center, the first stop for U.S. companies for information on all U.S. government export programs and for regional business counseling for Africa, Asia, Latin America, NAFTA, the Near East and Western Europe; the Advocacy Center, which works on behalf of U.S. industry to increase U.S. competitiveness on major overseas contracts; and the Office of Trade and Economic Analysis (OTEA) which conducts a comprehensive program of data development, information dissemination, and research/analysis involving trade and investment issues.

- ***Market Access and Compliance* (MAC)** identifies market access barriers and the means to overcome them, assists in the formulation of U.S. bilateral and multilateral trade policies to achieve greater market access, and provides counseling and assistance to U.S. businesses seeking access to the markets of specific countries or regions. Through the Trade Compliance Center, MAC systematically monitors, investigates and evaluates foreign compliance with multilateral, and bilateral international trade agreements. MAC also operates to two information centers that focus on portions of the former Soviet Union and central and eastern Europe: the Business Information Center for the Newly Independent States (BISNIS), and the Central and Eastern Europe Business Information Center (CEEBIC).

- ***Import Administration* (IA)** administers the U.S. antidumping and countervailing duty laws to provide a remedy to domestic industries injured by unfairly traded imports. IA participates with the United States Trade Representative (USTR) in negotiations related to international rules for antidumping and countervailing duty investigations and trade in specific sectors, such as steel, aircraft and shipbuilding. IA also has responsibility for implementing U.S. laws concerning Foreign Trade Zones (FTZs).

- ***Chief Financial Officer/Director of Administration* (Admin)** serves as the principal adviser to the Under Secretary and Deputy Under Secretary on financial and management policy for the ITA. Admin also operates ITA-wide management processes for financial and human resources; coordinates ITA's strategic planning and performance measurement efforts; performs program evaluations; and provides a variety of general administrative services.

- ***Chief Information Officer (CIO)*** is a newly created office. ITA is following the restructuring plan designated by the Department. The CIO is the principal advisor to the Under Secretary and Deputy Under Secretary on information resources management and policy. The Office of the CIO coordinates and supports digital delivery of ITA products and services; reviews and approves IT systems development and acquisitions; plans and operates local area networks (LAN) and the wide area networks (WAN) for ITA; supports Internet and World Wide Web activities; establishes and administers IT policies, procedures, and standards; plans and manages ITA IT plans, architecture, and security; and operates the Telecommunications Center which provides telephone operator services and distribution of State Department cable traffic for the Department.

Business Processes

The table below identifies ITA business processes grouped into four broad functional areas: trade promotion; trade compliance and enforcement; trade policy support, and management.

Function/Process	Purpose
Trade Promotion	**Open markets and promote export activity**
Advocacy	< Intervene on behalf of U.S. firms encountering difficulty winning major projects abroad
Business Counseling	< Provide specialized advice to individual companies seeking to enter or expand their exporting activities
Trade Information Development and Dissemination	< Ensure up-to-date general and specific trade information is available to customers
Trade Events	< Help U.S. exporters showcase their products and services to potential overseas buyers
Trade Compliance and Enforcement	**Promote free and fair trade practices**
Agreements Compliance	< Ensure that foreign countries abide by agreements executed with the U.S.
Antidumping/Countervailing Duties	< Remedy unfair trading practices injurious to U.S. industries
Trade Policy Support	**Support policy development and implementation**
Policy Formulation	< Participate in the interagency policy development process
Trade Negotiations Support	< Support negotiation and implementation of trade agreements
Policy/Issue Analysis	< Conduct research and analysis related to policy initiatives
Management	**Manage organizational resources in support of mission performance**
Strategic Planning	< Define long-range direction that guides near-term activities
Performance Measurement	< Manage organizational performance based on results
Resource Management	< Steward human, financial, information technology and data resources.

Overview of IT in ITA

ITA Vision for IT

ITA's vision for the future addresses both where the organization will stand in six years and how it will operate.

ITA Vision

ITA Strategic Vision	ITA Operational Vision

Customer
‛ U.S. businesses are aware of what ITA can offer them
‛ Customers are very satisfied with ITA's services and their needs are met
‛ ITA is seen as performing a valuable role and has a reputation for leadership in providing:
  ! high-value-added export assistance
  ! e-commerce enabled trade support
Policy
‛ ITA's efforts achieve results:
  ! desired foreign markets are available to U.S. exporters
  ! U.S. firms and workers are receiving all benefits available under trade agreements
  ! trade laws are being vigorously enforced
  ! U.S. foreign economic interests are advanced
‛ ITA is recognized as:
  ! a government-wide leader of U.S. trade promotion
  ! an innovative and essential contributor to U.S. trade policy
	Customer Service
	‛ Customer interaction occurs through a clear and coordinated interface and point of contact
	‛ Customer needs drive ITA products and services
	‛ Customer data is shared within ITA and among other agencies
	‛ Customer relationship management is integrated within ITA and between ITA and other agencies
	Organization
	‛ ITA is a nimble, proactive, and flexible organization, with resources that are:
	  ! adequate to accomplish its mission
	  ! leveraged and deployed where most needed
	‛ ITA efforts are tightly coordinated with other trade-related agencies
	Process
	‛ Technology and e-commerce are used to enable processes
	‛ Administrative processes are streamlined and effective

Major IT Investments

ITA will spend approximately $22.1 million in FY2002 on information technology assets and services. The majority of our expenditures (60%) are for general-purpose IT infrastructure: networks, computers, software, and systems that enable ITA employees to perform their routine daily activities. Most of the remainder, $7.8 million (35%), funds the development, modernization, and operation of our application systems. Of that figure, 53% will be allocated to four significant systems:

Accounting System - which is the principal system ITA uses to perform accounting and financial management activities. ($1.6M)[1]

Web Presence - which consists of ITA's collective activity in the form of websites available for public and internal use. ($1.1M)

Message Processing System (MPS) - which furnishes Commerce organizations with the ability to send and receive international cables through the Department of State's network. ($0.9M)

Trade Policy Information System (TPIS) - which provides the federal trade community with time-series trade and economic data necessary to conduct trade policy research and analysis. ($0.5M)

ITA spends the remaining portion of its IT funds (just over $1M annually, or less than 5% of overall IT expenditures) on ITA-wide IT architecture and planning activities.

A summary of our projected average spending for these items for the next six years is shown below[2].

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[1] This amount excludes the $1.6M forwarded-funded in FY2001.

[2] The financial data on which this is based is included as Appendix A.

Major IT Investments (FY 2002-2007)

IT Investment Category	6-year Average	
	($K)	Percent
Infrastructure	**15,760**	59%
Systems		
Accounting System	3,040	
Trade Policy Information System (TPIS)	560	
Message Processing System (MPS)	970	
ITA Web Presence	1,190	
Subtotal	**5,760**	21%
Small/Other Systems	**4,320**	16%
IT Architecture and Planning	**1,120**	4%
Grand Total	**26,960**	100%

IT Support for ITA Business Processes

The table below links ITA's major IT investments to the business processes that they support. The two symbols used in the ITA investment columns indicate the relative contribution of the IT component to the business process. A black circle (**!**) indicates a strong contribution to the business process, either in terms of importance or frequency of use. An open circle (**"**) indicates support for the business process, but in a secondary way. Infrastructure is shown as supporting all business processes, because it (1) provides the day-to-day tools for document preparation, information sharing and computation that support all program activities, and (2) serves as the technical platform for hosting or accessing mission and administrative systems that support specific business processes. The other IT investment supporting all business processes is the Message Processing System (MPS). Virtually every ITA office is a recipient of State Department cables, and depends on them as a routine source of information. Following the table, the contribution of our IT infrastructure and systems to each business area is described in more detail.

IT Support for ITA Business Processes

Business Activity/Process	IT Investment				
	Infrastructure	Accounting System	TPIS	MPS	Web Presence
Trade Promotion					
Advocacy	F	F	F	F	F
Business Counseling	F	F	F	F	F
Trade Events	F	Ž	F	F	Ž
Trade Information Development and Dissemination	F	F	F	F	Ž
Trade Compliance and Enforcement					
Agreements Compliance	F	F	F	F	F
Antidumping/Countervailing Duties	F	F	F	F	F
Trade Policy Support					
Policy Formulation	F	F	Ž	F	
Policy/Issue Analysis	F	F	Ž	F	
Trade Negotiations Support	F	F	Ž	F	
Management					
Performance Measurement	F	Ž		F	F
Resource Management	F	F		F	
Strategic Planning	F	F		F	

Key: **Ž** Strong Support, **F** Secondary Support

As the table above shows, each of our major IT investments supports multiple business processes, and in most instances supports business processes in more than one of our four major business activity groupings. This is reflective of the ITA organization, which is a matrix arrangement where regional specialists (country desk officers), industry experts, and trade specialists at our overseas posts and domestic U.S. offices often work as a team on specific trade issues.

Role of IT Support

In the paragraphs below, the role that IT plays in supporting each of our major business activities is illustrated.

Trade Promotion

An essential part of our trade promotion activity is providing information to potential exporters. Web publishing is our primary dissemination vehicle. ITA has a broad array of websites that provide a wealth of information to our clients via the Internet. These websites represent all of our domestic and foreign field offices as well as each major ITA program and organization. All of the sites are integrated into a unified web presence via the new Export.gov portal. Our electronic information dissemination activity complements the one-on-one business counseling performed by trade specialists in our field offices and by the staff of the Trade Information Center (TIC), our national exporter hotline service.

ITA's IT infrastructure also provides a platform for a wide variety of small systems and databases that support the activities of ITA offices and organizations. The Advocacy Center project database is one such example. They provide a central repository of information regarding the status of individual cases where ITA is assisting U.S. companies to win major contracts overseas.

Trade Compliance and Enforcement

Our trade compliance and enforcement activities depend almost exclusively on our infrastructure and web presence for IT support. They provide both information dissemination and computational capabilities that are vital to this business process. ITA is using the web to make information regarding international agreements available to U.S. exporters. This information assists U.S. companies that may be having difficulty in international markets, to become aware of the rights they have as part of trade agreements the U.S. has signed with other countries. ITA also uses the web to make information available to the public on the status of its investigations and reviews of potential violations of U.S. import (antidumping and countervailing duty) laws by foreign companies. In performing these investigations and determinations, ITA depends heavily on infrastructure capabilities to (1) perform statistical analysis of foreign firm sales transactions, (2) develop, maintain, and archive all the legal documents associated with each case, and (3) monitor the status of all the work products and administrative deadlines involved in case processing.

Trade Policy Support

The Trade Policy Information System (TPIS) is an important source of information and analytical capability used by ITA and other federal agencies to assess the impact of developments in the

international marketplace on U.S. economic security. It contains detailed historical U.S. and foreign merchandise trade statistics in a time-series format. TPIS is used by analysts and policy makers to assess the potential effect of proposed trade policies, formulate strategies for addressing international trade practices injurious to U.S. interests, and study the long-term effectiveness of U.S. trade agreements and policy. Our IT infrastructure also provides the day-to-day tools to support staff involved in trade policy work. It provides statistical capability for processing data from sources such as TPIS, furnishes an environment to house the data and documents associated with various trade policies and agreements, and supports information sharing activities critical to the policy formulation process.

Management

ITA operates only one major administrative system, the Message Processing System (MPS). Beyond that, and with the exception of the Accounting System, which is outsourced to the Department of Interior (DOI), ITA depends on Departmental and other federal systems to support activities such as human resources management, payroll processing, and property inventory. However, our network infrastructure serves as the means for accessing these systems, and is therefore considered critical to the effective operation of our administrative processes. The infrastructure also hosts some of our smaller administrative systems (e.g. the Controlled Correspondence System and the newly acquired performance measurement system, pbViews, which will aid in the data collection and reporting activities of ITA's performance measurement) and provides an electronic forms capability for producing standard federal, Commerce and ITA forms.

IT Management Responsibilities

Responsibility and resources for IT are primarily focused in the Office of the Chief Information Officer (OCIO). The Chief Information Officer provides leadership and oversight for IT management throughout the organization. In this role, the CIO directs ITA-wide strategic, operational and architectural IT planning activities and the IT capital planning and investment management process. The OCIO also operates the ITA-wide infrastructure program and the Message Processing System (MPS).

ITA is in the process of creating an enterprise-wide eGovernance Council with oversight and decision-making responsibilities for Information Technology. This board will consist of top level management from each of the business units, and will be headed by the CIO.

Goals

ITA has established several goals to guide us in realizing our IT vision. These goals, shown in the table below, correspond to two important aspects of IT: how we manage and what we manage. We have established a goal for management that recognizes our need to adopt new strategies and techniques, in line with federal policy mandates and "best practices" literature, and we have set separate goals for our infrastructure and system resources, in recognition of their unique importance and distinct characteristics.

IT Goals

IT Management	�' Increase our ability to derive business value from IT investments
IT Infrastructure	�' Maintain an IT infrastructure that is interoperable, technologically current, and secure �' Provide IT infrastructure support services that satisfy customers
IT Systems	�' Deploy systems that improve ITA mission performance

Our IT management goal states our intention to improve in the competencies required to promote the maximum return from our IT investments. With the global scope of our IT environment, the rapid change in technology, shifting program requirements, and increasing customer expectations, we must continually hone our skills to reap the maximum benefit from our infrastructure and system investments. The goal of IT management excellence also forms the foundation for achieving the other three goals that address our two core technology investments: IT infrastructure and systems.

The two IT infrastructure goals highlight the premium we place on this resource. Infrastructure is of critical importance to ITA because it provides:

> **!** a global electronic mail system and information sharing capabilities that are key to organization-wide communication;

> **!** the technology framework and platform for all of our major systems;

> **!** the basic tools to perform fundamental ITA business processes; and

> **!** a cost-effective information dissemination capability that supports our external and customer-based product and service delivery processes.

Our IT systems goal indicates our commitment to deploy systems that have significant impact on ITA mission performance. Strategic use of IT will enable ITA to develop innovative products and services, as well as improve existing ones; IT should also allow us to become more efficient in creating and delivering products and services.

Planning Assumptions

Mission Assumptions

❗ No fundamental changes to ITA's core business processes within the next 12 months.

❗ Resources will remain relatively stable.

❗ Customers of ITA's information dissemination activities will expect our web-based services to offer features comparable to commercial websites.

IT Assumptions

❗ Pressures driving change will continue:

" Administration and Department initiatives promoting "electronic government"
" Legislation and policy mandates to adopt IT management "best practices"
" Rapid evolution of products and services in the IT marketplace, especially oriented toward the Internet and electronic commerce

❗ IT infrastructure (versus application systems) will remain ITA's primary investment.

Issues, Strategies, and Action Plans

The goals that ITA has established to support the realization of our IT vision are ambitious. The challenges involved in achieving these goals are characterized in the paragraphs that follow as "issues", i.e., fundamental questions that pose obstacles to achieving our stated objectives. These issues were identified based on an analysis of ITA's internal IT strengths and weaknesses and an assessment of external threats and opportunities. The issues related to each of our goals are presented, and strategies for addressing the issues are discussed. The issues include:

❗ Responding to IT Management Improvement Mandates

❗ Meeting Bandwidth and Internet Access Requirements

❗ Merging ITA LAN with US&FCS Network

❗ Enhancing IT Security

❗ Sustaining an Interoperable Infrastructure

!   Identifying IT Requirements and Opportunities

IT Management

The last several years have been a time of significant change for federal IT management policies. Legislation such as the Government Performance and Results Act (GPRA) and acquisition streamlining are driving federal agencies to overhaul the way they plan, acquire, and manage IT resources. The scope and impact of management reforms is unprecedented in recent times. ITA's strategies for dealing with these challenges involve leveraging the experience of others, selectively implementing and improving key processes, and establishing the eGovernance Council.

IT Management Issues and Strategies

Issues	Strategies
Responding to IT Management Improvement Mandates	! Learn from Others ! Implement Selected Best Practices Tailored to ITA ! Strengthen Planning Processes ! Establish the eGovernance Council

Responding to IT Management Improvement Mandates

Successful management of complex and rapidly-changing information technology has long been a challenge for the federal government. Many factors seem to conspire to make the task difficult. In an effort to correct the problem, central management agencies, oversight bodies, and legislative committees have commissioned research, conducted audits, and published findings, contributing to a growing body of knowledge about how to do IT "right". Legislation has also incorporated key management concepts and approaches into federal IT policy. Implementing these policy mandates is challenging for several reasons:

! New processes are resource-intensive

Methodologies being promoted for IT capital planning and investment management, architecture planning, and security management involve more sophisticated processes and documentation. Although using these new approaches should improve IT management, implementing and operating these processes will come at a cost. Resources are already scarce, and shifting resources to management processes from operational requirements will be challenging.

! Good models for organizations comparable to ITA are lacking

Much of the best practice literature and methodological guidance is directed at large-scale system development efforts. The ITA IT portfolio is predominantly infrastructure with a variety of small-scale systems. Documentation on infrastructure-oriented policies and practices for global organizations like ITA is difficult to find.

! Success involves more than the IT community

Integrating IT planning with program planning, developing architectures, and evaluating IT investments requires significant involvement of program managers. Program managers who are not attuned to performance measurement and business process reengineering/improvement will find engaging in these activities challenging, and will need to be convinced of their value.

Strategies

Learn from Others
ITA can benefit greatly from leveraging the IT management knowledge and expertise already developed by other organizations. Potential sources of this expertise are other Commerce operating units, other federal organizations and comparable non-profit and private sector entities.
Implement Selected Best Practices Tailored to ITA
Implementation of best practices can yield substantial payoff for ITA. However, much of the best practice literature is broad and conceptual and the majority of it focused on major systems development. ITA will need to tailor best practice methodologies to fit our primarily infrastructure environment and organization capabilities. What may be an excellent management approach for another organization may not be feasible for us due to resource limitations, organizational differences, or other considerations. The same holds true for the IT management methodologies being promoted by OMB and others. We see merit in many of the new approaches (e.g. capital planning, IT architectures, performance measurement), but few can just be implemented "off-the-shelf". Careful planning is required to match the resources required to implement and operate each new methodology with the potential gains to be realized through its use.
Strengthen Planning Processes
ITA will strengthen IT planning by adopting more formalized processes and enhanced documentation.
Establish the eGovernance Council
ITA will establish an IT governing body through the creation of the eGovernance Council.

Action Plan

Strategy	Action
Learn from Others	Conduct two or more site visits of organizations comparable to ITA
Implement Selected Best Practices Tailored to ITA	**IT Capital Planning**
	Conduct selection process for FY 2004 IT budget initiatives
	Conduct post-implementation review(s) for selected system(s)
	IT Architectures
	Continue to update architecture document
	IT Performance Measurement
	Review and improve infrastructure measures
Strengthen Planning Processes	**Integrated IT/Program Planning**
	Participate in mission planning activities (Strategic Plan update, GPRA planning)
Enhance IT Security	**IT Security**
	Update Security Plans
	Certify and Accredit Systems
Establish eGovernance Council	Recruit and staff members for the newly formed governing body

IT Infrastructure

Although modernization efforts over the past several years have brought most of ITA's infrastructure up to industry-standard, several obstacles to achieving a global world-class infrastructure remain. The first issue involves our overseas infrastructure, where we need to obtain bandwidth and Internet access comparable to our domestic infrastructure. The second issue involves the merging of the newly formed ITA Network from its former components, the ITA LAN and the US&FCS Network. The first step in this merge will be to migrate to a single e-mail system. The other two issues are enterprise-wide: improving our network security posture in light of increasing use of the Internet, and determining the appropriate approach to ensuring that our infrastructure stays "modern", which is key to ensuring enterprise-wide interoperability.

IT Infrastructure Issues and Strategies

Issues	Strategies
Meeting Bandwidth and Internet Access Requirements	! Expand Headquarters and Domestic Infrastructure Capacity ! Seek Innovative Solutions Overseas
Merging the ITA LAN and theUS&FCS Network	! Migrate to single e-mail system
Implementing IT Security	! Integrate into Planning Activities
Sustaining an Interoperable Infrastructure	! Manage Infrastructure as an Integrated Program ! Improve Infrastructure Planning Processes ! Focus on Continual, Incremental Improvement

Meeting Bandwidth and Internet Access Requirements

The explosive growth of the Internet and the escalating demand for bandwidth-intensive applications (video-conferencing, webcasting, web radio, etc.) are straining the capacity of the ITA network infrastructure. Our domestic infrastructure, although relatively robust, will need to be expanded in order to keep pace with user demand. Upgrading will primarily be a cost issue. Overseas, however, addressing these needs will be particularly challenging. Although the on-site IT infrastructure at overseas posts has been upgraded to industry standard hardware and software platforms, requirements for increased bandwidth and Internet access have yet to be fully satisfied. ITA is dependent upon the Department of State (DOS) for some of its overseas telecommunications services, and the quality and expense of in-country service that DOS can acquire, along with IT security issues, have hampered our ability to address these requirements. Although internet access is available now at all desktops overseas, access is slow and the quality is poor in a number of posts. Through an innovative solution called Virtual Private Networking over a local ISP, and other private lines, only 26 sites remain on Department of State's DTSPO overseas infrastructure. If these sites are not upgraded to a level comparable to ITA's headquarters and domestic field infrastructure, enterprise-wide communications and information sharing will suffer, along with productivity at those remaining overseas sites. Additional bandwidth is needed to support efficient data transfer associated with enterprise systems, US&FCS databases, and remote administration of overseas LANs. Quality desktop Internet access is needed to support critical business processes requiring interaction with internal systems and external clients.

Strategies

Expand Headquarters and Domestic Infrastructure Capacity
Network infrastructure bandwidth capacity must be engineered and managed to keep pace with growing user demands.
Seek Innovative Overseas Solutions
At present, 26 out of 102 sites remain to be upgraded using local ISP's and secure VPN technology.

Action Plan

Strategy	Action
Seek Innovative Solutions	Work with local Internet Service Providers to provide solutions to remaining 26 sites overseas
Expand Headquarters and Domestic Infrastructure Capacity	Review network capacity and performance

Merge the ITA LAN and the US&FCS Network

With the creation of the CIO position, the first step was to create the Office of the Chief Information Officer, by merging staff from throughout the organization to the newly formed office. The next challenge on the horizon is to merge the two separate networks into one cohesive network. One of the first pieces of the network to be merged will be the e-mail systems.

Strategies

Migrate to single e-mail system
ITA will procure services from a contractor to evaluate ITA's e-mail requirements and provide a list of suggested alternatives. Once that is complete, the decision will be up to the new eGovernance Council as to which solution is best for ITA

Action Plan

Strategy	Action
Consider list of best solutions	Seek contractor support for requirements analysis and alternative solutions.
Determine best single solution	eGovernance Council will make final determination

Implementing IT Security

Increasing use of, and dependence on, the Internet as a routine means for doing business have increased security vulnerabilities. Options for improving security must be carefully evaluated, due to the global nature of the ITA infrastructure and the potential cost and complexity of implementing and administering additional system controls.

Strategies

Integrate into Planning Activities
Assessment of requirements, evaluation of alternatives, and implementation of security enhancements will be conducted with contractor support. Selection of appropriate controls must be considered in conjunction with business requirements, ease of use, costs of administration, and evolving technology. Security decisions cannot be made independently from other infrastructure and programmatic decisions.

Action Plan

Strategy	Action
Augment Resources devoted to security	Document system policies and procedures
	Implement global intrusion detection system
	Strengthen system security controls
	Deploy vulnerability testing tools

Sustaining an Interoperable Infrastructure

Maintaining adequate compatibility between the many technical components in ITA's widely distributed and dynamic enterprise is challenging. Rapid product cycles for popular desktop and network hardware and software, and the user demand created by them, further complicate the problem.

Strategies

Manage Infrastructure as an Integrated Program
IT infrastructure is a widely dispersed resource within ITA. To provide organization-wide consistency in managing this resource, ITA will establish the eGovernance Council. This will provide ITA with the flexibility necessary to maintain organization-wide infrastructure interoperability while allowing for the diverse business requirements (domestic U.S. and over 80 countries around the globe) of ITA units.
Improve Infrastructure Planning Processes
In a highly dynamic and integrated environment, it is imperative to structure an orderly change management process. The process should anticipate change and provide a means to maintain order during transitional periods. Doing so will protect against disruptions associated with unanticipated events.
Maintain Technological Currency
One of the major challenges in achieving and preserving infrastructure quality is maintaining a sufficient degree of integration and compatibility among the technical components and organizational domains that constitute the ITA enterprise infrastructure.   Past efforts to achieve organization-wide interoperability have typically depended on massive modernization efforts that "standardized" significant portions of the environment.   These efforts often took too long to complete. By the end of the project, the "modernized" technology being installed was obsolete. Approaches that build in continual renewal and decrease the cycle time for upgrades are critical to keeping all segments of the environment "in sync". Keeping the infrastructure technologically current also enables ITA to take advantage of the increasing degree of interoperability that is engineered into the latest generation of products.

Action Plan

Strategy	Action

Manage Infrastructure as an Integrated Program	Develop governance process that is transparent, documented, and based on IT architecture
Improve Infrastructure Planning Processes	Conduct ITA-wide infrastructure planning sessions
Maintain Technological Currency	Develop and implement infrastructure renewal strategies that decrease cycle time for upgrades

IT Systems

ITA believes that significant strides can be taken in applying IT to improve mission performance. There is more opportunity now than ever before in terms of the potential capabilities offered by technology. However, our ability to tap this potential requires us to see how these new capabilities can be applied to specific business processes. If we can make that connection, the systems that we develop and implement will produce or enable improvements in ITA's mission effectiveness and/or operational efficiency.

IT System Issues and Strategies

Issues	Strategies
Identifying IT Requirements and Opportunities	**!** Capitalize on Program Planning and Architecture Development Activities **!** Promote Business Process Approaches **!** Foster Collaborative Efforts

Identifying IT Requirements and Opportunities

Best practice research indicates that effective IT systems are based on reengineered business processes. However, program managers are unfamiliar with business process reengineering, or resistant to funding process improvement or requirements analysis activities. Many assume that off-the-shelf hardware and software will solve any business problem. Without an investment in business process analysis, requirements for IT are often poorly expressed, and IT solutions are implemented based on inaccurate assumptions. The problem has been so pronounced that legislation now mandates that federal agencies implement best practices to improve the "connection" between their systems efforts and program delivery. The first step in the IT capital planning process is establishing the business requirement for IT, or the opportunity for IT to create new ways of doing business. This step of conceptualizing the application of IT to solve a

business problem is best addressed by IT and program staff working as a team to study the business process and evaluate potential solutions.

Strategies

Capitalize on Program Planning and Architecture Development Activities
The involvement of IT managers in ITA strategic planning activities offers the opportunity to engage with program managers regarding the use of IT to support mission functions.
Promote Business Process Approaches
Educate program managers about the importance of process improvement in conjunction with automation efforts, through the new eGovernance Council.
Foster Collaborative Efforts
Technology changes so rapidly that it is difficult to keep up with the new opportunities it offers and to determine the best ways to take advantage of them. Taking maximum advantage of technology to address business needs requires the full engagement of both IT and program personnel. Working together, IT staff (both contractor and government) and program staff combine technical and business process knowledge to better determine how to take advantage of emerging IT capabilities to solve mission requirements.

Action Plan

Strategy	Action
Capitalize on Program Planning and Architecture Development Activities	Facilitate business process definition as an outcome of the ITA strategic planning activity
Promote Business Process Approaches	Discuss business process improvement with business process owners as part of Operational IT Plan preparation
	Emphasize business process improvement as a critical element for FY 2004 IT budget initiatives
Foster Collaborative Efforts	Involve IT staff in mission-oriented innovation and pilot program activities
	Sponsor sessions to discuss IT implications of cross-organizational business processes

Summary of Key Activities

This section briefly describes ITA's progress and plans related to Departmental IT priorities and initiatives, and internal IT management improvement efforts.

Departmental IT Priorities and Initiatives

Government Paperwork Elimination Act (GPEA)

In the past year, ITA has initiated steps to transform our value to U.S. businesses and citizens through a strategic approach to electronic government. Recent guidance and attention has been directed to e-government through the President's Management Counsel. Efforts to develop e-government is a primary government-wide initiative. Our GPEA implementation strategy will utilize two methods to support customer centric government: 1) ITA will unify its information and IT infrastructure; and 2) ITA will simplify significant business processes to build a more effective foundation for transacting business electronically. We approach this second method by addressing transactions with the American public (Government to Citizen); with U.S. businesses (Government to Business); with other governments (Government to Government); and within ITA and other Federal agencies (Internal Efficiency and Effectiveness).

Government Paperwork Reduction Act (GPRA)

ITA manages its program to collect information from the public in accordance with the requirements identified by the Paperwork Reduction Act of 1995 and guidance/circulars from the Commerce Department and OMB. The majority of ITA's collections of information are voluntary and impose a minimal burden (1000 or fewer hours) on the public. Approximately 80% of these collections are required for respondents to apply for and obtain a benefit. Since we have minimal control over the number of respondents who elect to apply and request benefits, our plans to reduce the burden on the public continue to include simplifying and streamlining forms, elimination of collections no longer required, and using information technology to reduce the amount of time required to complete each request. These steps will help achieve the intended effect of reducing the burden on the public and enhance our service to the customer by producing public collections of information that are clearer and easier to use.

ITA has also redesigned its electronic forms program and prepared ITA to migrate to an Adobe platform for forms automation by the end of FY 2002. A client friendly website has been designed to ensure improved service delivery to ITA program units. Public use forms are redesigned and business processes associated with those forms will be revamped and integrated with web activities.

Electronic Government Goals

ITA's key strategy for achieving its electronic government goals is to create a client-focused and mission driven program that can support: (1) the unified expansion and maintenance of the Export.gov portal; (2) effective ITA leadership in the coordination of government-wide export promotion activities; and (3) integrated employee, supplier and customer "digital" access to well-defined information and service delivery channels for exporter services, market information, market access and compliance, financing, and how-to-export knowledge.

ITA's e-government strategy also includes integrating and leveraging E-Commerce through public-private sector partnerships such as BuyUSA.com that not only provide easy customer access to Federal-wide export assistance and trade promotion programs but can also provide digital access to world-class transaction support (shipping, logistics, insurance, etc.). Creating a program that is digitally accessible, means that the Internet will be the primary medium to effect core operations and interactions, and that the use of digital technologies will be applied centrally to achieve an significant improvement in our service delivery.

Accessibility under Section 508

ITA's ongoing compliance strategies for achieving appropriate levels of accessibility under the Section 508 include: awareness programs for program officials and documenting reviews for procurement compliance with Section 508 technical standards; training for webmasters as well as the migration of all websites, including the Federal-wide Export.gov portal to a common set of ITA Web Standards; and involvement on the Departmental team to create guidance for complying with Section 508.

Privacy Considerations

ITA's strategies for addressing privacy considerations of visitors to ITA's web sites include: (1) require links from all ITA web sites and web forms to an ITA-wide privacy policy that accurately describes our information collection practices regarding all visits, information collected via the web, and our web bug practice and persistent cookies prohibition; (2) actively monitor all current sites for compliance with our web site privacy policy and for compliance with the Department's privacy policies; and (3) taking immediate action to rectify any potential privacy policy violation.

Quicksilver Project

ITA is participating in the International Trade Streamlining Quicksilver initiative, by enhancing the trade portal (Export.gov) established in 2001. The goal is to create increased trade opportunities for U.S. small and medium sized businesses by reducing barriers to exporters. This will be accomplished by streamlining online export processes and simplifying export promotion and financing activities across trade agencies. Commerce chairs the Trade Promotion Coordinating Committee, which is coordinating the effort, with input from key partners including the Export-Import Bank, the Small Business

Administration, US Department of Agriculture, Trade Development Agency, State Department, and the Overseas Private Investment Corporation.

ITA IT Management Improvement Activities

Establishing the eGovernance Council

ITA will create a new eGovernance Council, with oversight responsibility for IT planning and operations. The council will consist of senior managers from the business units, supported by IT staff. The council will ensure comprehensive business unit involvement in IT Architecture and IT Strategic Planning.

Additionally, the Clinger-Cohen Act (CCA) requires agencies to establish an effective and efficient capital planning and investment process for selecting, controlling, and evaluating major IT investments. This process is to be integrated with the budget and program management decision process within ITA. The CIO is required by the CCA to provide advice regarding information technology and information resources management to the agency head. This Council will help carry-out these requirements.

IT Architecture

Our first year implementation of IT architecture as a "best practice" culminated in the submission of a draft architecture document to the Department's IT Architecture Affinity Group in 1999. ITA has participated in this group, which developed architecture guidance for the Department and is reviewing the documents submitted by the operating units, since its inception in 1998. We have updated, improved, and submitted the architecture document in each subsequent year. In 2001, we submitted our first Technical Reference Model (TRM) and Standards Profile, and will continue to update the architecture as needed. The governance structure for migrating to target architectures will rely on the eGovernance Council, which will be in operation this year, and the Office of the Chief Information Officer. The Operational IT Plan will also be updated to document the migration plan where any significant architectural changes are required.

IT Security

ITA's IT security was recently reviewed by GAO. We also conducted independent testing for vulnerabilities. Based on these findings, we are strengthening our IT Security Program, and specifically addressing the issues GAO highlighted. The new activities will apply to both the planning and infrastructure security issues. ITA began updating system documents through contractor support in 2001. This year, we will continue to expand this effort. Some resources have been re-allocated to IT security and will be used to obtain needed contractor support. This support will be used to develop policies and procedures, facilitate system accreditations, and assist in strengthening system controls.

Critical Infrastructure Protection

ITA does not have any systems that meet the criteria for inclusion in the Department's Critical Infrastructure Protection (CIP) Program.

IT Investment Portfolio Synopsis

ITA has adopted the portfolio paradigm for managing IT investments. The sections that follow describe the major elements of our current portfolio, which consists of five major investments: one for IT infrastructure and four for application systems. Changes to our portfolio since last year's plan are also identified.

IT Infrastructure Investments

We have recently undergone a reorganization of IT resources by establishing the Office of the CIO. During this reorganization, we consolidated the ITA LAN and US&FCS networks under the guidance of the CIO. The task now is to merge the two, creating a seamless and unified network. One of the first steps in the merge will be to migrate to a single email system. Primary challenges for the future concerns sustaining the interoperability of the infrastructure, continual modernization, and meeting customer requirements.

Financial Summary

($K)

FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
13,328	13,728	16,140	16,620	17,120	17,640

Performance Measures

Measure	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
Technological Currency (%)						
Hardware[1]	75%	75%	80%	80%	80%	80%
Software[2]	95%	95%	95%	95%	95%	95%

Notes:
(1)   Hardware is considered current if it is (a) within one year of general market availability or (b) within one generation of the current product, and support/replacement parts are still available. Three years is the estimated system life for most hardware.
(2)   Software is considered current if it is within one major revision of the current release.

IT System Investments

The investments described in this section represent ITA major application systems that support both administrative and program activities.

Accounting System

ITA outsourced its accounting system needs to the Department of the Interior (DOI) in 1999. DOI's National Business Center (NBC) operates as a federally-authorized franchise center providing financial services to 15 other federal agencies (including Commerce's Patent and Trademark Office). The NBC operates the Federal Financial System (FFS), a system developed by American Management Systems.

Financial Summary
($K)

FY 2002	FY 2003	FY 2004	FY2005	FY2006	FY2007
1,666[1]	3,116	3,220	3,320	3,420	3,520

Performance Measures

Measure	FY 2002	FY 2003	FY 2004	FY2005	FY 2006	FY2007
Next Day Reporting Capability and the ability to generate reports as needed.	100%	100%	100%	100%	100%	100%
Meeting established servicing levels on payments.	100%	100%	100%	100%	100%	100%

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[1]This amount excludes the $1.6M forward-funded in FY2001.

Trade Policy Information System (TPIS)

TPIS is currently being updated to improve access to the International Monetary Fund (IMF) data set, and enhanced server-side retrieval software. TPIS has added a second database server, running Windows NT, and is in the process of upgrading the original UNIX production server with new hardware and database software. TPIS continues to run Oracle as the primary database manager on both the Windows NT and the UNIX platforms. On-going maintenance and enhancements are being handled by the in-house support staff.

Financial Summary

($K)

FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
500	530	550	570	590	600

Note: Costs are for operations, maintenance, and minor enhancements.

Performance Measures

Measure	FY 2002	FY 2003	FY 2004	FY 2005	FY2006	FY2007
Number of Users	300	300	300	300	300	300
Number of Lines of Output (Millions)	18	22	25	30	30	30
Number of Data Requests	17,000	20,000	23,000	23,000	25,000	25,000

Message Processing System (MPS)

ITA operates the MPS as the Commerce-wide system for distributing State Department cables. No significant changes in user demand or system requirements are envisioned for the next several years. The MPS is a proprietary system developed by Xerox Corporation. Although ITA operates the system, ITA depends on Xerox for system maintenance and enhancements.

Financial Summary

($K)

FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
860	900	940	990	1,040	1,090

Note: Costs are for operations, maintenance, and minor enhancements.

Performance Measures

Measure	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
Messages Distributed Electronically (vs. Hardcopy)	**57%**	**60%**	**63%**	**65%**	**67%**	**68%**
E-Mail	43%	45%	47%	48%	49%	50%

Diskette	14%	15%	16%	17%	18%	18%

Web Presence

ITA's "web presence" refers to the collective web activity of ITA in the form of web sites accessible for public and internal use. All ITA organizations and programs are accessible in some form via the web. Although web sites vary in breadth, depth and particular features offered to the customer, all of ITA's core mission-oriented business activities use the web in some degree to interact with external trade and exporter customers. Recently ITA launched the Export.gov portal, and standardized all internal and external sites to this template. The next goal for the Export.gov portal is to provide unified digital access to information across agencies. This involves the deployment of high-end search tools, purchase of additional bandwidth for domestic and overseas operations, purchase and deployment of higher end web development tools, performance measurement, content and record management systems, and embarking on much larger-scale system design and customer-oriented information integration efforts for our Intranet, Extranet and Internet applications.

Financial Summary
($K)

FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
1,100	1,130	1,170	1,210	1,250	1,290

Performance Measures

Measure	FY 2002	FY 2003	FY 2004	FY2005	FY2006	FY2007
Customer Perception of Portal Ease of Use	70%	75%	80%	80%	80%	80%
Customer Perception of Ease of Access to Export and Trade Information and Data	70%	75%	80%	80%	80%	80%
% Processes and Services Provided Electronically to External Customers	TBD	TBD	TBD	TBD	TBD	TBD
% Processes and Services Provided Electronically to Internal Customers	TBD	TBD	TBD	TBD	TBD	TBD

Small/Other Systems

In addition to expenditures for major application systems, ITA's IT budget for systems work includes (1) fees paid to outside organizations for use, such as CAMS, Internet Services, and Administrative Systems and (2) funding for "small" ITA systems - whose development cost is usually less that $500K and where ongoing maintenance expenses are minimal.

Financial Summary
($K)

FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
3,640	3,910	4,180	4,450	4,720	4,990

IT Architecture and Planning

The new eGovernance Council will have oversight responsibility for IT planning and operations. The council will consist of senior managers from the business units, supported by IT staff. This will ensure comprehensive business unit involvement in IT Architecture and IT Strategic Planning. The Council will be ITA's primary governance vehicle for the IT Architecture.

Financial Summary
($K)

FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
1,030	1,050	1,080	1,130	1,190	1,250

IT Investment Portfolio Changes

No new proposals have been funded for the FY 2002 - FY 2003 budget cycles.

IT Investment Portfolio Financial Summary ($000)						
Cost Category	**FY 2002**	**FY 2003**	**FY 2004**	**FY 2005**	**FY 2006**	**FY 2007**
Infrastructure Investments						
IT Infrastructure	**13,328**	**13,728**	**16,140**	**16,620**	**17,120**	**17,640**
Administrative System Investments						
Accounting System	1,666	3,116	3,220	3,320	3,420	3,520
Message Processing System (MPS)	860	900	940	990	1,040	1,090
Subtotal	**2,526**	**4,016**	**4,160**	**4,310**	**4,460**	**4,610**
Mission System Investments						
Trade Policy Information System (TPIS)	500	530	550	570	590	600
ITA Web Presence	1,100	1,130	1,170	1,210	1,250	1,290
Subtotal	**1,600**	**1,660**	**1,720**	**1,780**	**1,840**	**1,890**
Small/Other System Investments						
Small/Other Systems	**3,640**	**3,910**	**4,180**	**4,450**	**4,720**	**4,990**
IT Architecture and Planning Investments						
IT Architecture and Planning	**1,030**	**1,050**	**1,080**	**1,130**	**1,190**	**1,250**
TOTAL	**22,124**	**24,364**	**27,280**	**28,290**	**29,330**	**30,380**

Note: All costs are for operations, maintenance, and minor enhancements. No major development costs are included, since
all systems in the current portfolio are in operational mode.